Transition

A well-prepared proposal moves logically from one thought to the next, from one section to the next. You have made the case for your credibility in the introduction, narrowing to a focus on your credibility for the task at hand. Now you are ready to move into the specific situation, problem, need or concern with which your proposal deals. In the Call-Med introduction, the last sentence leads into a proposal for funds to translate content and prepare tapes in Spanish.

Annual Reports

Periodic reports on your agency, produced each year or every few years, are a valuable adjunct to your proposal introduction. The proposal should be brief. A periodic report can go into greater detail. Enclosed with your proposal, it can add to your credibility.

Checklist for Proposal Introduction

- ☐ Clearly establishes who is applying for funds
- ☐ Describes applicant agency purpose and goals
- ☐ Describes agency programs
- ☐ Describes clients or constituents
- ☐ Provides evidence of accomplishment
- ☐ Offers statistics to support credibility
- ☐ Offers statements and/or endorsements to support credibility
- ☐ Supports credibility in program area in which funds are sought
- ☐ Leads logically to problem statement
- ☐ Is interesting
- ☐ Is free of jargon
- ☐ Is brief

PLAINTIFF'S ORIGINAL TEXT

A well-prepared proposal moves logically from one thought to the next, from one section to the next. You have answered the question, "Why give the money to you?" in the introduction, narrowing to a focus on your credibility for the task at hand. Now you are ready to address the specific problem, need or concern that you propose to reduce or solve.

But before you do, let's review the . . .

Checkpoints of Excellence

- Clearly establishes who is applying for funds.
- Describes applicant agency purpose and goals.
- Describes agency programs.
- Describes clients or constituents.
- Provides evidence of accomplishment.
- Offers statistics to support credibility.
- Offers statements and/or endorsements to support credibility.
- Supports credibility in program area in which funds are sought.
- Leads logically to problem statement.
- Is interesting.
- Is free of jargon.
- Is brief.

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Checklist for Problem Statement

- ☐ Relates to purposes and goals of organization
- ☐ Is of reasonable dimensions
- ☐ Is supported by statistical evidence
- ☐ Is supported by statements from authorities
- ☐ Is stated in terms of clients or beneficiaries
- ☐ Is developed with input from clients and beneficiaries
- ☐ Is not the "lack of a method" (unless the method is infallible)
- ☐ Doesn't make assumptions
- ☐ Doesn't use jargon
- ☐ Is interesting to read

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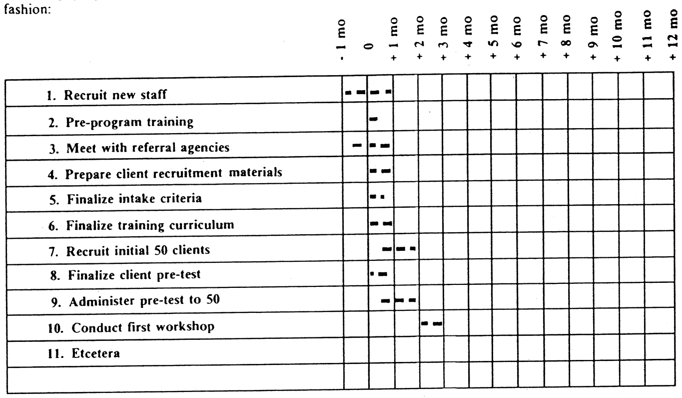
Time Charts

To provide a clear picture of program activities, some applicants include in their proposal a time chart describing program activities in a more organized fashion:



Setting forth tasks or activities in this fashion can be an aid to program planning. Without such a plan, certain necessary steps might be overlooked.

Checklist for Methods

- ☐ Flows naturally from problems and objectives
- ☐ Clearly describes program activities
- ☐ States reasons for selection of activities
- ☐ Describes sequence of activities
- ☐ Describes staffing of program
- ☐ Describes clients and client selection
- ☐ Presents a reasonable scope of activities that can be accomplished within the time allotted for program and within the resources of the applicant

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Initiated in this clinical setting, Goal Attainment Scaling was transferred to other types of programs. Its illustration here is not a recommendation for its universal adoption, but rather to show one of many evaluation techniques that could be used by the program evaluator sincerely committed to ferreting out the benefits of programs too often thought to be beyond the pale of evaluation.

The GAS process resulted in:

1. A set of dimensions devised for or by the individual
2. A system to assign weight among the dimensions
3. A set of expected outcomes
4. A follow-up scoring of these outcomes
5. A score summarizing the outcome across all the dimensions

The chart illustrates a sample FAS follow-up guide. Five scale headings were chosen as important concerns. The titles were chosen to help the follow-up worker understand the nature of the dimensions on which the patient was being assessed. Outcome levels were then selected for some scales with the patient's involvement; others were selected by the clinician alone. The expected level with treatment on the first scale was tailor-made for this patient, and indicated that some practical steps would be taken by the patient, but that they would be taken with some ambivalence. The range of outcomes on either side of this expected outcome were also tailor-made, and within the capability of this patient. The reasoning behind the outcome selection went as follows: given this patient's background, environment, abilities and liabilities and hopes for the future—and given the capabilities of our treatment staff to treat such cases, as well as the current state of knowledge—what can we expect her to be doing, to be like, at the time of followup?

Because the scales were weighted relative to one another, any set of values could be used. The check marks indicated the clinician's estimate of the level at intake. The asterisks indicated the scoring by the follow-up worker. Using a statistical formula derived by one of the developers of GAS produced a score which summarized the outcome for this patient. Comparing the intake with the follow-up score provided a difference score, or estimate of change during treatment.

Checklist for Evaluation

- ☐ Covers product and process
- ☐ Tells who will be performing evaluation and how evaluators will be selected
- ☐ Defines evaluation criteria
- ☐ Describes data gathering methods
- ☐ Explains any test instruments or questionnaires to be used
- ☐ Describes the process of data analysis
- ☐ Shows how evaluation will be used for program improvements
- ☐ Describes evaluation reports to be produced

PLAINTIFF'S ORIGINAL TEXT

Checkpoints of Excellence

- Covers product (outcomes) and process.
- Tells who will be performing evaluation, and how evaluators will be selected.
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Checklist for Problem Statement

- ☐ Relates to purposes and goals of organization
- ☐ Is of reasonable dimensions
- ☐ Is supported by statistical evidence
- ☐ Is supported by statements from authorities
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PLAINTIFF'S ORIGINAL TEXT

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Note: This form is a planning tool, designed to assist you in developing your proposal's core outline. Your proposal summary is written only after this page's work is done. Summaries are read first, written last. Your agency's "credibility statement" will appear second, although its development is not necessarily part of this planning process. Your credibility statement is a "living document"; it will grow with you and you will use it often.

#2 The Problem or Need

***Outside* our agency and *objective*.**

Questions about this section? Review pages 6-11!

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#3 Objectives

Specific and measurable, Objectives are your promi... improvements in the situation you described in the Prob...

Questions about this section? Review pages 12-16!

- ✓ Describes problem-related outcomes of your program.
- ✓ Does not describe your methods.
- ✓ Defines the population served.
- ✓ States the time when the objectives will be met.
- ✓ Describes the **Objectives** in numerical terms, if at all possible.
- ✓ These "outcome" Objectives should state <u>who</u> is to change, <u>what</u> behaviors are to change, and in what direction the changes will occur, <u>how much</u> change will occur, and by what time, or <u>when</u>, the change will occur. Further, the Objective must state how change will be <u>measured</u>. If all these "questions" are not answered, then you've developed a **Process Objective**, which belongs in your **Methods**.

#5 Methods

Our *solutions*. *Inside* our agency and subjective.

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- ✓ Flows naturally from problems and objectives.
- ✓ Clearly describes program activities.
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- ✓ Once your **Methods** are substantially developed, it's time to fill in the *"Task Timeline and Cash Flow Analysis"* sheet. Review page 16 in your book, and print a blank copy from your *CD*. You'll find the form in the folder, *"...antsMap Tools."*

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#4 Process Objectives

Belong in Methods. Process objectives tell *what has occurred*, whereas Objectives detail *changes attributable* to your program.

- ✓ Process objectives aren't necessary, but often result from initial attempts at writing **Objectives**. If this happens to you, consider using them in your **Methods**.

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How much change?

A proposal from a drug rehabilitation center claimed that 89 percent of its clients were cured, and that a grant could produce similar results in a comparable population. Reviewers were skeptical of this claim; they viewed it as evidence of the naiveté of the applicant. An examination revealed that the claim was based on a small number of program clients, for all clients who had not completed a full year at the center were dropped from the statistics, and classified as "untreated." A realistic estimate of benefit should be based on the experience of your agency and your knowledge of the success of similar programs. If a specific percentage gain can only be guessed at, you may commit to a "statistically significant" change—that is, one that statistically could not have occurred as a result of chance. Look to a person inside or outside your agency with some statistical background to assist you in determining statistical significance.

Checklist for Objectives

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	- 1 mo	0	+ 1 mo	+ 2 mo	+ 3 mo	+ 4 mo	+ 5 mo	+ 6 mo	+ 7 mo	+ 8 mo	+ 9 mo	+ 10 mo	+ 11 mo	+ 12 mo
1. Recruit new staff	- -	- -												
2. Pre-program training		-												
3. Meet with referral agencies	-	- -												
4. Prepare client recruitment materials		- -												
5. Finalize intake criteria		- -												
6. Finalize training curriculum		- -												
7. Recruit initial 50 clients		-	- -											
8. Finalize client pre-test		- -												
9. Administer pre-test to 50		-	- -											
10. Conduct first workshop				- -										
11. Etcetera														

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2. Fire, theft, and liability insurance
3. Dues in professional associations paid for by the applicant
4. Subscriptions to periodicals
5. Publications costs

Indirect Costs

Organizations that operate several different funded projects face a particular problem. The cost to the organization of housing a project may drain the resources of the institution. Indirect costs are an attempt to compensate the organization for these costs and to provide a basis for the sharing of the costs of running a large institution among the various programs and projects within the institution. The Department of Health, Education and Welfare states:

> Indirect costs are those costs of an institution which are not readily identifiable with a particular project or activity but nevertheless are necessary to the general operation of the institution and the conduct of its activities. The costs of operating and maintaining buildings, grounds and equipment, depreciation, general and departmental administrative salaries and expenses and library costs are types of expenses usually considered as indirect costs.

In theory, all such costs might be charged directly; practical difficulties, however, preclude such an approach. Therefore, they are usually grouped into common pool(s) and distributed to those institutional activities benefited through a cost allocation process. The end product of this allocation process is an indirect cost rate(s) which is then applied to individual grant and contract awards to determine the amount of indirect costs chargeable to the award.

Indirect costs may or may not be provided by any particular funding source. Generally, those sources which support higher educational institutions do provide them. Some funding sources place a ceiling upon indirect costs allowed in a given grant situation. Be sure to find out what percentage, if any, the funding source will allow for indirect costs, and determine which portion of your budget the percentage applies to. Sometimes indirect costs are a percentage of the total direct costs, or of the personnel costs, or of the salary and wages item alone.

PLAINTIFF'S ORIGINAL TEXT

This is what a completed budget might look like:

Budget Summary

	Total	Total Requested	Total Donated
Total This Grant	**$100,671.12**	**$78,362.62**	**$22,308.50**
I. Personnel	**$ 77,762.62**	**$58,479.12**	**$19,283.50**
A. Salaries and Wages	$ 49,950.00	$43,200.00	$ 6,750.00
B. Fringe Benefits	$ 12,148.62	$10,479.12	$ 1,669.50
C. Consultant and Contract Services	$ 15,664.00	$ 4,800.00	$10,864.00
II. Non-Personnel	**$ 22,908.50**	**$19,833.50**	**$ 3,025.00**
A. Space Costs	$ 12,300.00	$ 9,900.00	$ 2,400.00
B. Rental, Lease or Purchase of Equipment	$ 2,710.00	$ 2,085.00	$ 625.00
C. Consumable Supplies	$ 1,287.50	$ 1,287.50	—0—
D. Travel	$ 1,761.00	$ 1,761.00	—0—
E. Telephone	$ 3,500.00	$ 3,500.00	—0—
F. Other Costs	$ 1,350.00	$ 1,350.00	—0—

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program or expand an existing program, how will you maintain it after the grant funds have been spent?

A promise to continue looking for alternative sources of support is not sufficient. You should present a plan that will assure the funding source, to the greatest extent possible, that you will be able to maintain this new or expanded program after their grant is gone. Indeed, if you are having difficulty keeping your current operations supported, you will probably have more difficulty in maintaining a level of operation that includes additional programs.

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Some funding sources place a ceiling on indirect costs allowed in a given grant situation. Be sure to find out what percentage, if any, the funding source will allow for indirect costs and determine which portion of your budget the percentage applies to.

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